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Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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T.O./S.P./1/01

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(h))

Attorney Docket No. 06683.0002.NPUS00

First Named Inventor or Application Identifier Roger D. WOOD

Title Authentication System, Method and Apparatus

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

Assistant Commissioner for Patents

Box Patent Application

Washington, DC 20231

1.  \*Fee Transmittal Form (Form PTO-1082)  
(Submit an original and a duplicate for fee processing)

2.  Specification [Total Pages 27]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R&D  
- Reference to Microfiche Appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claims  
- Abstract of the Disclosure

3.  Drawing(s) (35 USC 113) [Total Sheets 4]

4. Oath or Declaration [Total Pages 3]

a.  Newly executed (original or copy)  
b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]  
i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named  
in the prior application, see 37 CFR 1.63(d)(2) and  
1.33(b).

5.  Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy  
of the oath or declaration is supplied under Box 4b, is considered  
as being part of the disclosure of the accompanying application  
and is hereby incorporated by reference therein.

6.  Microfiche Computer Program (Appendix)  
7. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a.  Computer Readable Copy  
b.  Paper Copy (identical to computer copy)  
c.  Statement verifying identity of above  
copies

8.  Assignment Papers (cover sheet & document(s))  
9.  37 CFR 3.73(b) Statement  Power of  
(when there is an assignee) Attorney  
10.  English Translation Document (if applicable)  
11.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS  
Citations  
12.  Preliminary Amendment  
13.  Return Receipt Postcard (MPEP 503) (Two)  
(should be specifically itemized)  
14.  \*Small Entity Statement(s)  Statement filed in  
prior application,  
Status still proper  
and desired  
15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)  
16.  Other: Non-Publication Request -  
35 U.S.C. §122(b)(2)(B)(ii)

\*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

## 17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

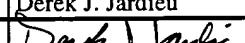
 Continuation  Divisional  Continuation-in-part (CIP)

of prior application No: /

Prior Application Information: Examiner:

Group/Art Unit:

**18. CORRESPONDENCE ADDRESS**

<input type="checkbox"/> Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here)	or <input checked="" type="checkbox"/> Correspondence address below			
NAME	Derek J. Jardieu			
	HOWREY & SIMON			
ADDRESS	Box No. 34			
	1299 Pennsylvania Avenue, N.W.			
CITY	Washington	STATE	DC	ZIP CODE
COUNTRY	US	TELEPHONE	202-783-0800	FAX
Name (Print/Type)	Derek J. Jardieu		Registration No. (Attorney/Agent)	44,483
Signature			Date	February 13, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

February 13, 2001

*Box Patent Application*

Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Non-Provisional Utility Patent Application  
Appl. No. To Be Assigned; Filed: February 13, 2001  
For: **Authentication System, Method and Apparatus**  
Inventor: Roger D. WOOD  
Our Ref: 06683.0002.NPUS00

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. U.S. Utility Patent Application entitled:

**Authentication System, Method and Apparatus**

and naming as inventor:

Roger D. Wood

the application consisting of:

a. A specification containing:

- (i) 20 pages of description prior to the claims;
- (ii) 6 pages of claims (30 claims); and
- (iii) a one (1) page abstract; and

Assistant Commissioner for Patents  
February 13, 2001  
Page 2

b. 4 sheets of drawings: (Figures 1, 2a, 2b, 2c, 3 and 4);

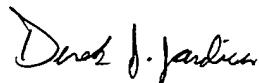
2. An original executed Declaration;
3. Non-Publication Request – 35 U.S.C. §122(b)(2)(B)(ii);
4. Our check No. 346492 for \$ 890.00 to cover:  
    \$ 710.00 filing fee for patent application; and  
    \$ 180.00 fee for excess claims;

5. FORM PTO-1082 (in duplicate);
6. PTO/SB/05 (in duplicate); and
7. (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 08-3038 referencing docket number 06683.0002.NPUS00. A duplicate copy of this letter is enclosed.

Respectfully submitted,



Derek J. Jardieu (Reg. No. 44,483)

Enclosures

HOWREY SIMON ARNOLD & WHITE, LLP  
 Box No. 34  
 1299 Pennsylvania Avenue, N.W.  
 Washington, D.C. 20004-2402  
 (202) 783-0800

Attorney Docket No. 06683.0002.NPUS00

ASSISTANT COMMISSIONER FOR PATENTS  
 Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of

Inventor: Roger D. WOOD

For: Authentication System, Method and Apparatus

Enclosed are:

4 sheets of informal drawings.  
 An assignment of the invention to \_\_\_\_\_  
 Form PTO-1595.  
 A certified copy of a \_\_\_\_\_ application.  
 An associate power of attorney.  
 A verified statement to establish small entity status under 37 CFR 1.9 and 37 CFR 1.27.  
 Executed Power of Attorney from Assignee.  
 Non-Publication Request 35.U.S.C. §112(b)(2)(B)(ii).  
 Executed Declaration for Patent Application.

The filing fee has been calculated as shown below:

(Col. 1)	(Col. 2)		
FOR	NO. FILED	NO. EXTRA	
<b>BASIC FEE</b>			
<b>TOTAL CLAIMS</b>	<b>30-20 =</b>	<b>10</b>	
<b>INDEP. CLAIMS</b>	<b>3-3 =</b>	<b>0</b>	
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED			

\*If the difference in Col. 1 is less than zero, enter "0" in Col. 2

SMALL ENTITY	
RATE	FEES
	\$ 355.00
x 9 =	
x 40 =	
+ 135 =	
TOTAL	

OTHER THAN A SMALL ENTITY	
RATE	FEES
	\$ 710.00
x 18 =	\$ 180.00
x 80 =	
+ 270 =	
TOTAL	\$890.00

Please charge my Deposit Account No. 08-3038 in the amount of \$ \_\_\_\_\_. A duplicate copy of this sheet is attached.

Please charge my credit card in the amount of \$ \_\_\_\_\_. A form PTO-2038, Credit Card Payment Form is attached in duplicate.

A check in the amount of \$ 890.00 to cover the filing and extra claim fee is enclosed.

The U.S. Patent and Trademark Office is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 08-3038 referencing docket number 06683.0002.NPUS00. A duplicate copy of this sheet is attached.

Any additional filing fees required under 37 CFR 1.16.

Any patent application processing fees under 37 CFR 1.17.

The U.S. Patent and Trademark Office is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 08-3038 referencing docket number \*. A duplicate copy of this sheet is enclosed.

Any patent application processing fees under 37 CFR 1.17

The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).

Any filing fees under 37 CFR 1.16 for presentation of extra claims.

Date February 13, 2001

  
 Derek J. Jardieu (Reg. No. 44,483)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Roger D. WOOD

Appl. No. To Be Assigned

Filed: February 13, 2001

For: **Authentication System, Method  
and Apparatus**

Art Unit: To Be Assigned

Examiner: To Be Assigned

Atty. Docket: 06683.0002.NPUS00

**Non-Publication Request - 35 U.S.C. §122(b)(2)(B)(ii)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicant hereby requests that the above-identified application NOT BE PUBLISHED under 35 U.S.C. §122 (b). Applicant certifies that the invention disclosed in the application has not been and at this time shall not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

It is not believed that fees are required beyond those that may otherwise be provided for in documents accompanying this paper. However, if additional fees are necessary, then such fees are hereby authorized to be charged to our Deposit Account No. 08-3038.

Respectfully submitted,



Derek J. Jardieu (Reg. No. 44,483)

Date: February 13, 2001

HOWREY SIMON ARNOLD & WHITE, LLP  
Box No. 34  
1299 Pennsylvania Avenue, N.W.  
Washington, D.C. 20004-2402  
(202) 783-0800